

Prepare to Apply

Start Getting Ready Today



Identify the Applicant

- The “applicant” is the business that will hold the license
 - AKA the retail dispensary that you will operate if awarded a CAURD license
- For CAURD, the applicant can be a business of any structure – even a nonprofit corporation or an unincorporated business
- Applicants may apply as either:
 - Nonprofit
 - Corporation, partnership, LLC, etc.

Double & Triple Check Eligibility

- Make sure your planned retail dispensary **meets all the CAURD requirements**
 - NY Business Express will not allow the application to move forward if you do not meet the minimum eligibility requirements
- Being able to clearly show your application meets all requirements is a key part of the application
 - Justice Involved Individual + Business Ownership Experience
- Plan to submit documentation backing up what is included in your application

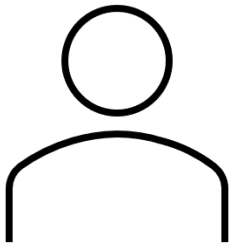
Have a Clear Plan

- As part of your application, you will have to provide detailed information on how your dispensary business will be organized and operated
- Be ready to explain your ownership structure:
 - Who are all of the owners
 - How much does each individual own
- Prepare for detailed financial disclosures
- Review the regulations carefully to make sure your plans comply



Justice Involved Ownership

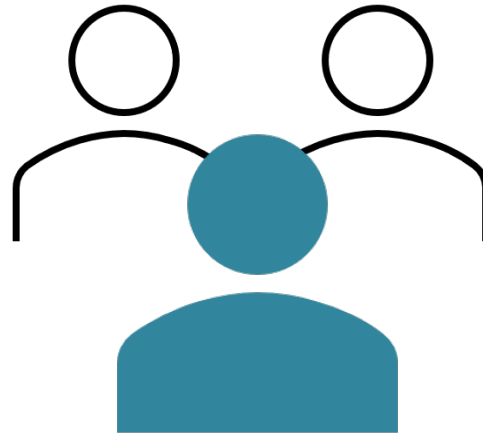
One Justice Involved Owner



The **same person** must be justice involved and have qualifying business experience.

That person **must also own at least 51%** of your planned dispensary

Multiple Justice Involved Owner



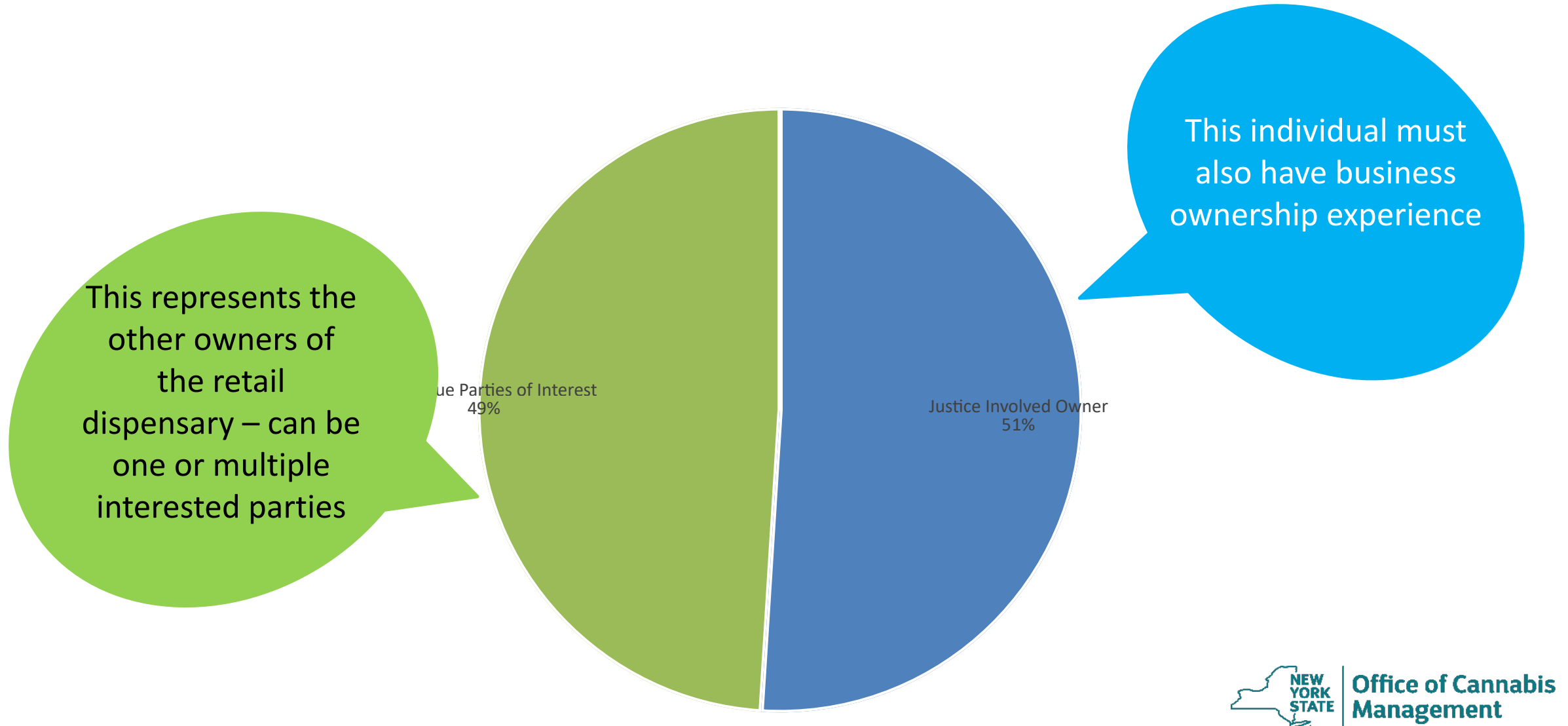
One person must be justice involved with qualifying business experience **and** own at least **30% of the planned dispensary***.

The other justice involved individuals do not need business ownership experience. They can own the remaining 21%.

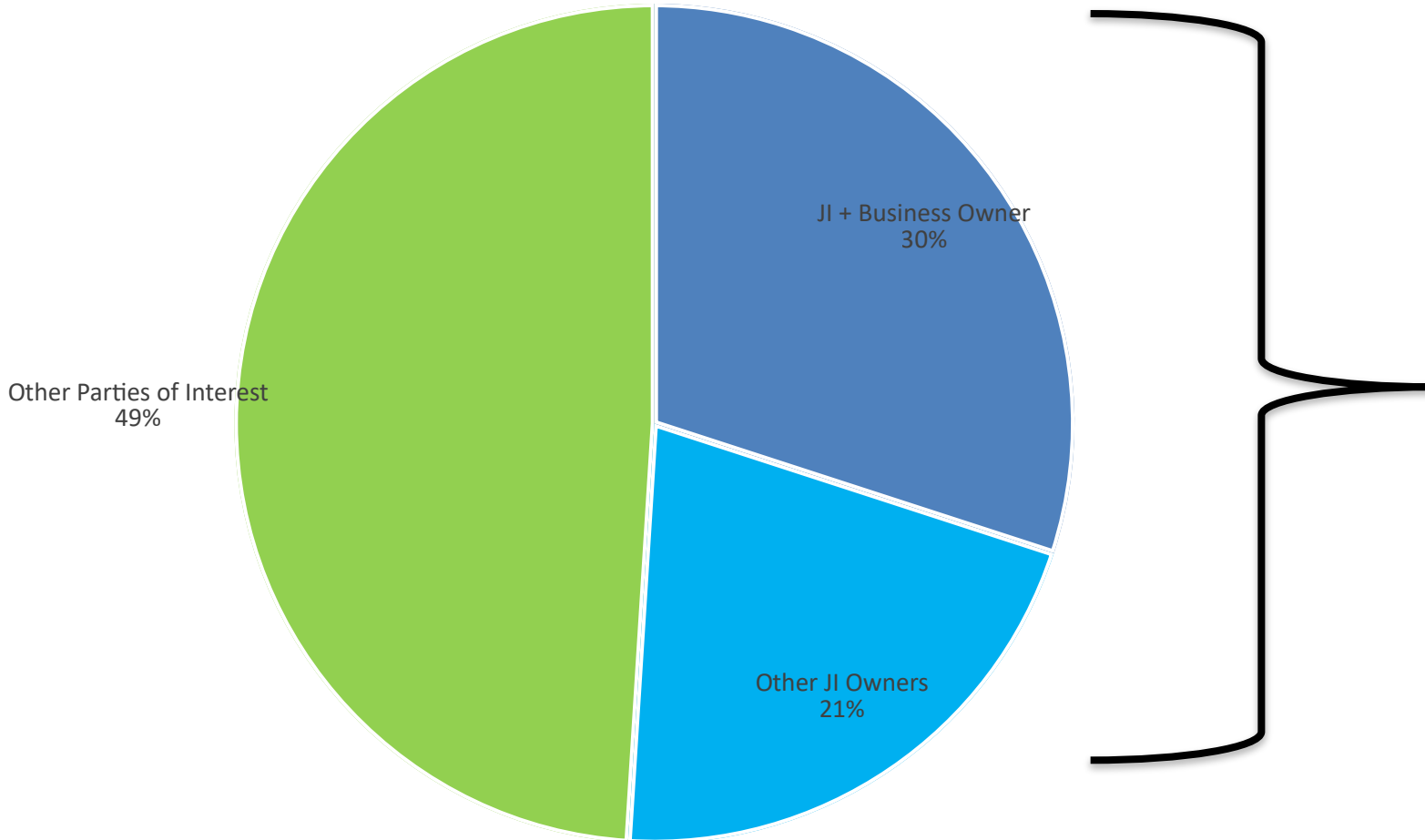
*** If more than one individual in your application meets this criteria you must choose one of those individuals to represent you as sole control on the application.**



One Justice Involved Owner



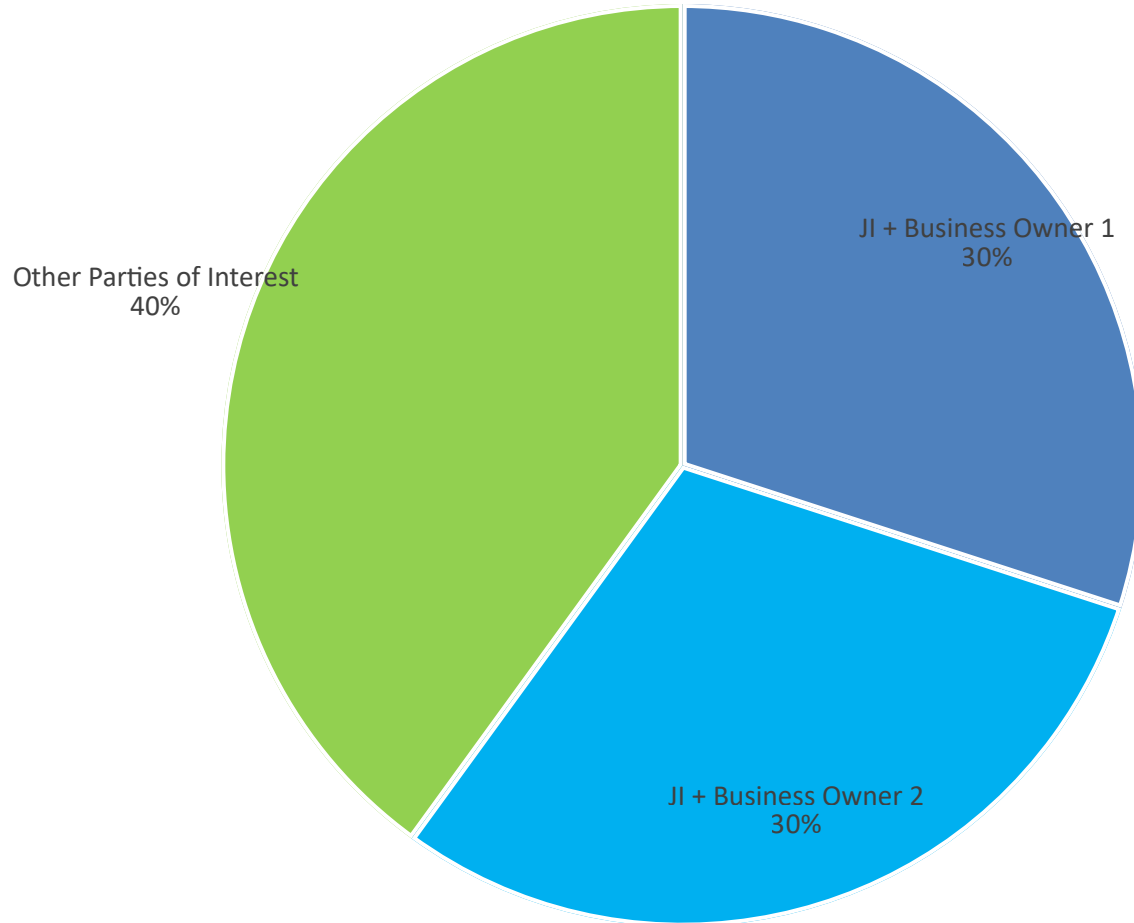
Multiple Justice Involved Owners – Example A



The individual with 30% ownership will be identified as having “sole control” in your application

Your application will be evaluated on specific factors related to this person’s justice involved history and qualifying business experience

Multiple Justice Involved Owners – Example B

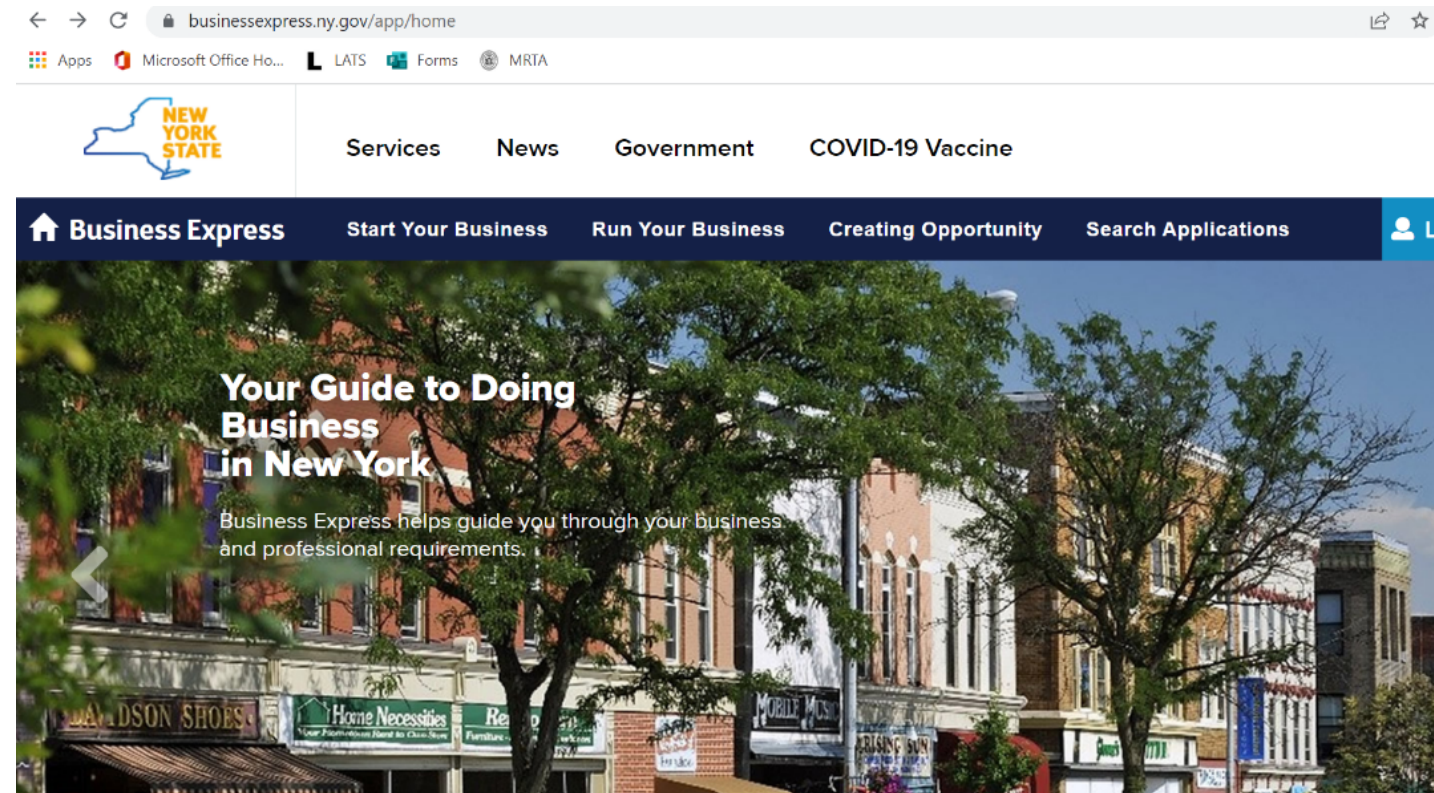


On the application you must choose one of the CAURD eligible individuals (justice involved + qualifying business owner) to represent you as “sole control” on your application

Your application will be evaluated on specific factors related to this person’s justice involved history and qualifying business experience

Get an Account on NY Business Express

- Applications will be submitted through the NY Business Express businessexpress.ny.gov
- Get started early and set up your account now
- Assistance is available: M-F 8:30a.m. to 4:30p.m.
(518) – 485 – 5000



Update & Review Your Information

- If you have previously entered info in NY Business Express, make sure the information about your planned dispensary is up to date
- Choose your point of contact carefully – someone who will be responsive to requests for info

The screenshot shows the 'Business Express' web interface. The top navigation bar includes 'Start Your Business', 'Run Your Business', 'Creating Opportunity', and 'Search Applications'. A left sidebar menu lists various sections: 'My Dashboard', 'Business Profile' (with sub-items like Introduction, Entity Type, Business Identification, Business Addresses, Business Physical Address, Additional Physical Location(s), Mailing Address(es), and 'Contact Information' which is highlighted with an orange arrow), 'Industry Classification', 'Owner/Business Principal', 'Sole Proprietor/Owner Information', 'Application', and 'Ready to Submit'. The main content area is titled 'Contact Information' and contains several input fields: 'Telephone Number' (with a 'Remove' link), 'Mobile Phone Number', 'Fax Number', 'E-mail Address' (with a 'Remove' link), and 'Business Website'. There are also buttons for 'Add Another Telephone Number' and 'Add Another Email Address'. At the bottom of the form are 'Back' and 'Save & Continue' buttons, and a small 'Exit Application' link.

Documenting Applicant Structure

- Certificate of Incorporation
- Certificate of Limited Partnership
- Articles of Organizations
- Charter
- By-Laws
- Partnership Agreement

*If you are requesting any of these documents from the New York State Department of State, be sure to request **“Expedited Handling Services”***

to ensure you receive your documents in a timely manner

Or any other information that sets forth the legal structure of the applicant, as approved by OCM



Office of Cannabis
Management

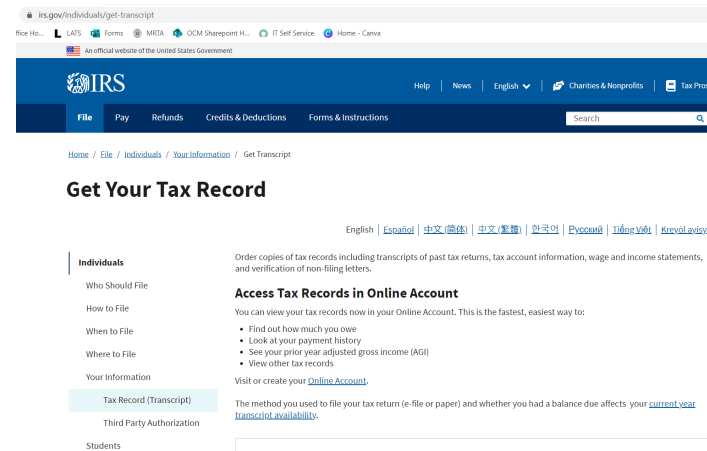
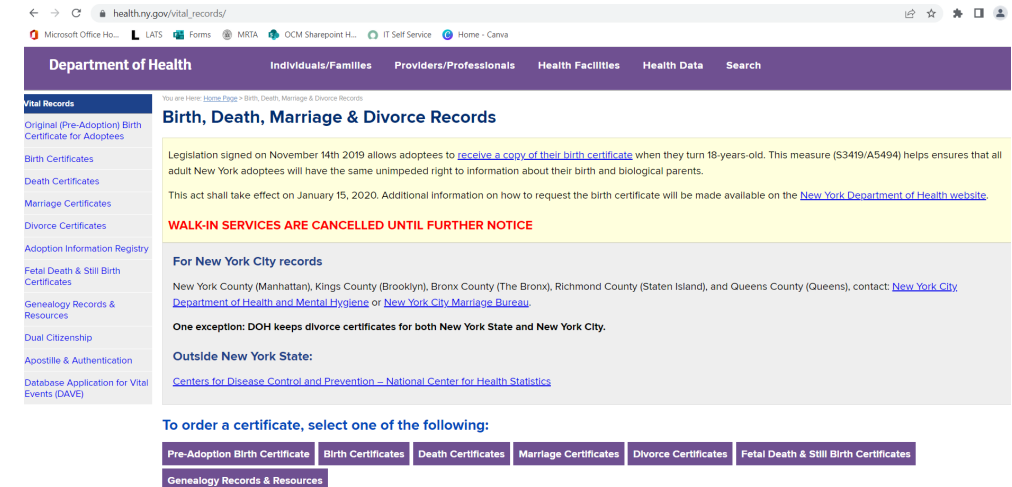
Documenting Justice Involvement

- Arrest Record of marihuana-related conviction
- Certificate of Disposition
- A record of judgment, conviction, plea, verdict, or sentence
- A docket entry from court records that indicates the existence of a conviction
- Court minutes of the proceeding
- An abstract record of conviction or any document prepared by or under the direction of the court
- Police file that indicates evidence of conviction
- Health Records that indicate the existence of a conviction
- Notarized Attorneys Letters
- Acknowledgement of application to destroy expunged marihuana conviction records (DCJS)
- A post-conviction CPL-440 Motion to vacate a criminal conviction or to re-open a criminal case
- Governor's Commutation
- Records from DOCCS
- Results from Criminal History Background Check

Or any other information verifying the marihuana offense as approved by OCM

Documenting Relationship to a Convicted Family Member

- Birth Certificate (for parent/child)
- Marriage Certificate (if spouse was the convicted family member or for domestic partnerships now determined as legal marriage)
- Guardianship Documents, Authorization Letter or Court Records
- Tax Documents or Financial Paperwork Showing a dependent relationship



Or any other information verifying the eligible family relationship as approved by OCM

Documenting where the Justice Involved individual lived at time of conviction

- Drivers License, Non-Driver ID Card, IDNYC card or Learners Permit
- State or Federal Tax Filing, Return, or Refund Check
- Utility Bill
- Bank or Credit Card Statement
- Letter from Public Housing Authority Addressed to the Individual
- Letter from a Homeless Shelter, non-profit or religious organization referencing the individual
- Pay Stub
- Current lease agreement, mortgage payment or property tax statement
- Employment offer or notice of pay showing that an employer provided housing
- Health or Insurance statements or bills
- Jury summons, court order, or other document from a court
- Letter from a domestic violence residential care program
- Letter from a charitable organization that provided services to the individual
- Document addressed to the individuals by a local, state, or federal government agency
- Credit report from a nationwide credit bureau

Or any other information verifying the residence at time of conviction as approved by OCM



Documenting Qualified Business

- **Proof of Ownership:** must show justice involved individual owned and controlled at least 10% of this business
 - Business Ownership and/or Incorporation Documents
 - Tax Documents
- **Two Years Net Profits:** must show that business owned by justice involved individual was profitable for at least 2 years while that person was an owner
 - Tax Documents
 - Audited Financial Documents
 - Business Bank Account Statements

Stay Connected to OCM

- Pay attention to regular updates on the OCM website
 - Staff are reviewing questions submitted to the Office and updating the FAQ section of the website
 - Be sure to read through the FAQs thoroughly as they will contain the most up to date information
- Additional online training is coming
 - OCM will be providing an additional recorded training on the application submission process closer to the application launch date
- Continue submitting questions to: licensing@ocm.ny.gov